Upward Bound Program Annual Performance Report (APR)
Frequently Asked Questions and Responses
Program Year 2001-2002

Listed below is a summary of the most frequently asked questions Upward Bound Annual Performance Report divided into what we define as "Technical Questions" and "Programmatic Questions."

Section I: Technical Questions are related to computer programs, software issues, and electronic submission requirements. Questions 1 through 9 of this section address issues related to *Preparing the Annual Report* while Questions 10 through 16 address issues related to *Submitting the Annual Report* to the Department of Education.

If you have additional technical questions, you should contact our Help Desk by either telephone (703) 846-8233 X 247 or email at UBHELP@CBMIWEB.COM

Section II: Programmatic Questions require clarifications or interpretations of the data requirements of the report. For answers to these types of questions, please contact your program specialist directly. A state listing of program specialist assignments is available at the following web address:

http://www.ed.gov/HEP/trio/statedir.html

PREPARING THE ANNUAL REPORT

Each Upward Bound project is required to prepare the annual performance report in accordance with the instructions provided. The instructions for preparing the annual performance report are available at the following web address:

http://www.ed.gov/HEP/trio/ubperfreport.html

There are three sections to the performance report.

- Section I is project identification information;
- Section II are instructions for preparing the electronic file of individual participant records; and
- Section III is for the narrative summary of project objectives and accomplishments.

Prior to the due date for submitting the annual performance report to the Department of Education, each grantee must prepare electronic files with the individual participant records (Section II) and the narrative summary of other project objectives (Section III).

I. TECHNICAL ISSUES

Question #1: How should a project begin to prepare the performance report?

Response #1: First, an Upward Bound project must review the required data elements (Section II-A of the report) to ensure that the project is collecting all the required information. If some data elements are not being collected, the project should develop plans and procedures for collecting the required data.

Next, the project should determine how it will prepare the electronic data file of individual participant records. Below in response to question #2 is a brief discussion of options available for preparing the participant data file.

If you currently have a management information system for your project with participant level information, you may choose to create a Text file or export the data to a spreadsheet or database. If, however, your project does not have a database or the database does not capture many of the required data elements, you may decide to use the Department's Tool (see discussion of this tool under question #3).

Question #2: What options are available for preparing the participant data file (Section II of performance report)?

Response #2: A grantee has three basic options for preparing the student data file. You may choose any of these options, provided you submit the data in accordance with the instructions for preparing the participant data file (Section II-A of the performance report). These instructions are available at the following web address:

http://www.ed.gov/HEP/trio/ubperfreport.html

Option A: Use the database or spreadsheet that you currently use to capture and manage your project data and then export the data required for the performance report to an Excel spreadsheet, Access database (mdb) or database file (dbf). If you choose this option, you must:

- change your column names to match the "Database Column Names" provided in column three of Section II-A – Record Structure for Participant List (If you are using Access, you must change the column names in the "Design, Table".);
- provide the data (columns or fields) in the same order as the data fields in column one are listed in Section II-A of the report instructions (i.e., the first column of your spreadsheet must be PR, the second column must be BatchAY); and
- use only the valid field content provided in column 8 of the report instructions. For example, the valid field content for "Gender" (field #9) is 1 for Male, 2 for Female and 0 for No response. Values such M for Male and F for Female are not acceptable values.

Option B: Prepare a Text file in accordance with the record structure provided in Section II-A of the report. A Text file (sometimes called an ASCII text file) is a text only document that contains no formatting, e.g., word processor files insert special (nonreadable) characters for bold text, italic text, and underlined text, etc. Most current word processing software will save a document as an "text" file, usually under the Save As… and Save As Type. . . options. This will remove all special formatting from the file. The advantage to a text file is that it is a standardized file type and many different software packages can read the data in the file. Once you have created the text file, you must check the file to ensure that the data fields exported correctly and that the data elements meet the valid field content requirements provided in column 8 of Section II-A of the report instructions.

Option C: Use the software tool developed by the Department of Education for capturing and submitting the performance report data.

Question #3: What is the Department's Tool?

Response #3: With input from the TRIO community, the Department has developed the Upward Bound Annual Performance Report (APR) Participant Data Collection Tool (or UB Tool), which is a self-installing electronic software application that you may use to collect the data required in Section II-A of the performance report. The UB Tool is a standalone application that requires no additional software to run. However, in order to properly run this application, you must have an IBM-compatible PC with the Windows 95 (or higher version) desk operating system.

This application is designed to assist grantees, especially those without participant databases, in meeting the new performance reporting requirements. The tool will also help grantees check the quality of their data submissions in order to reduce the number of potential errors associated with importing data to the TRIO databases.

The application and instructions for using the tool are available for download from the following web site:

http://www.ed.gov/HEP/trio/ubperfreport.html

Question #4: Should an Upward Bound project use the Department's Tool?

Response #4: No. As noted above under the response to Question #2, Upward Bound grantees have several options for preparing the individual participant records. You are encouraged to select the method most compatible with your current data management systems.

Question #5: What will be the features and functionality of the software tool?

Response #5: The Department's Tool is a software application to assist grantees in submitting the required data for the annual performance report electronically. *It is not intended to serve as a project management information system* and thus has limited functionality. Grantees, without an automated participant recordkeeping system, may use the tool to manually enter the participant information. The tool is designed to reduce the number of input errors by prompting the user to enter valid field contents. Once all the required data are entered, the project can create a file to upload via the UB Performance Report Web site and submit to the Department of Education as Section II of their performance report.

The UB Tool also has three additional features to assist grantees.

- The tool allows grantees to select data fields from other databases and imports the data into the tool. The grantee can then use the tool to check the data for formatting and field content errors. Once the data is checked, the grantee can create a file to upload and send to the Department of Education.
- The tool allows grantees to export the data to another database, spreadsheet, or management information system. This feature allows UB projects to use the performance report data to develop a project management system without having to re-enter the basic data required for the performance report.
- The tool will generate a statistical report that aggregates the individual participant data.

Question #6: What is a delimited text file?

Response #6: A delimited text file contains rows of information that could be displayed as a spreadsheet or table format. However, since it is a text-only file, no special formatting can break up the information into columns. Therefore, a delimited text file consistently uses characters throughout the document to indicate a column break. These characters are known as the delimiters. Nearly any character can be a delimiter, but the most common delimiters are the comma and tab. Following is an example of using delimiters:

Prefix	First Name	Middle Initial	Last Name
Mr.	John	T.	Doe
Mrs.	Jane	A.	Smith

The previous table contains two records of data, one for each person. An example of a comma delimited text file containing the same information, without the column names, is as follows:

“Mr.”,”John”,”T.”,”Doe”
“Mrs.”,”Jane”,”A.”,”Smith”

A tab-delimited file would essentially be the same, but tabs would replace the commas.

Question #7: What if the data is in MS Works Spreadsheet?

Response #7: When the user finishes entering all data into the MS Works database, the best format to send that data to the Department of Education is as a dBASE file.

- To create a dBASE file from MS Works, insert a floppy diskette into the A:\ drive.
- Start MS Works and the database that contains all the student data.

- Select **Save As** from the **File** menu. The *Save File As Type* will be an option on the **Save As** dialog box. Under *Save File As Type*, the user needs to select dBASE IV. Also, select the A:\ drive as the file destination.
- Then select Save or OK.
- You can then upload the file into the new UB Performance Report web-site to submit to the Department of Education.

Question #8: How can one prevent Microsoft EXCEL from automatically dropping the initial "0" in a date field?

Response #8: EXCEL attempts to convert all numbers to a correct format. By entering "022571" in a field, EXCEL will convert that to "22571" because that is a true number. *To avoid this problem, the cell needs to be formatted as a text field.*

- If you are entering data where an entire column will be in above format, select the entire column by clicking on the grayed column name, for example "E" so that it turns gray.
- The next step is to select the Format menu and the "Cells…" prompt. You can also do this by clicking on your right mouse button while the mouse is over the highlighted column and selecting "Format CellsK".
- A tabbed dialog box should now appear. The first tab is named "Number" and that is the tab you need to work with.
- Change the category to "Text". DO NOT change the category to "Date" because it can give you some unexpected results.
- Once the cell/cells have been formatted as text, EXCEL will maintain the original "0" in "022571".

Question #9: What does "A", "N", and "A/N" mean in the Type column of the record structure (Section II of the performance report)?

Response #9: These letters are abbreviations for the following types of data:

"A" stands for alpha characters (A to Z). For those fields designated by an "A", only alpha characters are valid entries. If using Access, select "Text" in the field type.

"N" stands for numeric characters (0 to 9). For those fields designated by a "N", only numbers should be provided. For example, Field #1 requests the student's social security number (SSN). The only valid entries in this field are numbers. Hyphens should not be inserted in this field. If using Access, select "Number" in the field type.

"A/N" stands for alpha and numeric characters. Fields designated by "A/N" may contain alpha characters (A to Z); numeric characters (0 to 9); and punctuation marks such as periods, apostrophes, and dashes. If using Access, select "Text" in the field type.

SUBMITTING THE ANNUAL REPORT

Question #10: Are Upward Bound projects to submit the annual performance report electronically?

Response #10: Yes. All Upward Bound projects are expected to submit the annual performance report via the World Wide Web. The Web application for submitting the report will be available at the following Web address by **October 21, 2002**:

http://www.ed.gov/HEP/trio/ubperfreport.html

Question #11: How does a project use the web to submit the annual performance report?

Response #11: The web application for UB grantees to use to submit the UB annual performance report has the following features:

- A web form for completing the project identifying information (Section I) on line;
- Functionality to upload electronic files with the individual participant records (Section II) and the narrative summary of other project objectives (Section III);
- A submit button to send the entire report to the Department of Education; and
- An e-mail confirmation that the report has been submitted.

Question #12: How are the participant records (Section II) and the narrative summary (Section III) uploaded?

Response #12: The UB Performance Report Web site has features for you to use to upload a file with participant data and another file with the narrative summary of project objectives and accomplishments. Once you are at the site and have entered your project identifying information in Section I, you will be given two methods to upload your files:

Enter the file name:

- When prompted, enter the file name into the window (i.e., A:\Student.txt); and
- Click the Upload button to start the file upload.

Or use the Browse feature to locate the file:

- Click the Browse button to open the window that will allow you to locate the file with the participant data (or the narrative summary) on your computer;
- Click on the file name so it is highlighted;
- Click on the Open button to select the file name and close the Browse window; and
- On the UB web page, click on the Upload button to start the upload.

With either method, when the upload is completed, the web page will display the "Filename" and "File Path." Check these before proceeding to ensure that the correct files were uploaded.

Question #13: Will a project receive confirmation that the report has been successfully submitted?

Response #13: Yes. When completing Section I of the report on the Web, the person entering the performance report data will be asked to provide an email address. After the report is completed and you click on the "Submit" button, a message will display indicating that your performance report has been successfully submitted. A confirmation will also be automatically e-mailed to the e-mail address provided.

Question #14: After electronically submitting the report, should a project also send a paper copy of the report with the original signature of the project director and certifying official?

Response #14: Except for Section I, the Department of Education only requires an electronic version of the performance report information. A grantee, however, must submit, via fax, a signed copy of Section I of the report form that certifies that the information submitted electronically is accurate, complete, and readily verifiable. The signed copy of Section I only of the report should be faxed to: (703) 995-4336. Please do not fax in a copy of the entire report.

Question #15: What is the mailing address for submitting the annual performance report?

Response #15: A mailing address is not needed, since the performance report should be submitted via the Web. The Web address for submitting the report electronically will be available as of **October 21, 2002**, at:

http://www.ed.gov/HEP/trio/ubperfreport.html

Question #16: When is the annual report due?

Response #16: In accordance with Department regulations, the annual performance report is to be submitted within 90 days after the end of each 12-month grant (budget) period. For the 2001-02 performance report, the Department of Education has extended the report due date to November 30, 2002 for those Upward Bound projects with project periods that began in June, July, or August 2001.

A grantee should not wait until the last week of November (or December for UBMS) to submit their performance report via the World Wide Web, as this practice has the potential of overloading the web sites. When there is a large number of users on a web site at one time, there may be interruptions and delays. Upward Bound grantees are asked to submit their performance reports as soon as complete data are collected.

II. PROGRAMMATIC QUESTIONS

Question #1: What is a "batch year"?

Response #1: The Batch Year (Field #2 of the Record Structure for the Participant List -- Section II of the performance report) designates the grant (project) year that is being reported. The batch year changes with each annual submission of individual participant records. The Department designates the Batch Year as the beginning year of the 12-month grant period. This may or may not be the same as the school year or academic year designations of some institutions. The Batch Year was chosen because TRIO projects are forward funded, (e.g., Fiscal Year 2001 funds are used to support the 2001-2002 project year). For the 2001-02 performance report the "Batch Year" is 2001. Thus, the individual participant information provided will be for those students served by the project from the Summer or Fall of 2001 through the Spring or Summer of 2002.

Question #2: What PR/Award Number should be used?

Response #2: A grantee should use the PR/Award Number applicable to the grant (budget) period covered by this report. This number can be found in Block 5 of the Grant Award Notification. Be sure that you use the current PR/Award Number for the project. For the 2001-2001 report, the PR/Award Number is begin as follows:

Upward Bound	P047A99 _ _ _ _
Upward Bound Math/Science	P047M99 _ _ _ _

Please note that the PR/Award Number is eleven (11) digits. Please be sure you use "zeros" instead "Os" when entering the PR/Award Number into your database.

Question #3: What are the differences between a continuing, re-entry, and prior-year participant (field #18)?

Response #3:

- **A *continuing participant*** is an individual who participated in the project in both the current reporting period (program year 2001-2002) and the preceding project period (program year 2000-2001).
- ***A re-entry participant*** is a former project participant who participated in the project during the current reporting period (program year 2001-2002) but not during the preceding project period (program year 2000-2001).
- ***A prior-year participant*** is a former project participant who did not participate in the project during the current reporting period (program year 2001-2002).

Example for 2001-2002 report:

Continuing participant	2000-2001 and 2001-2002
Re-entry participant	1999-2000 and 2001-2002
Prior-year participant	1999-2000 and/or 2000-01

Question #4: If a student is still a participant in the Upward Bound project, how do I complete fields #16 (date of last program service) and #17 (reason for leaving program)?

Response #4: Insert zeros in field #16 and nines in field #17 for "Not applicable." You will only provide a date (field #16) and a reason for leaving (field #17) for those Upward Bound participants who have either (1) dropped out of the Upward Bound program (e.g. left the program before high school graduation) or (2) completed the program (e.g. graduated from high school).

Question #5: What date should I use in field #16 (date of last program service)?

Response #5: For those Upward Bound participants who dropped out of the program, it would be best to use the date the participant last attended an Upward Bound activity or received any kind of help from the project. This could include contacting a student regarding attendance in project activities, providing advice, counseling, etc. If that information is not available, you may use the date the project dropped the student from its list of active participants.

For those students who stay in the program until high school graduation, the date of last program service would be either the high school graduation date or for those participants in the summer bridge program, the end of the summer program.

Question #6: If the student is a new, continuing, or prior-year participant, how do I complete field #15?

Response #6: Insert zeros for "Unknown/Not applicable."

Question #7: How does a project report the "Academic Need" of a participant (field #20)?

Response #7: The Upward Bound program regulations require a project, in selecting participants, to determine each individual's need for academic support. The criteria each Upward Bound project will use to determine a participant's academic need should be articulated in the approved application for funding. In completing field #20, from the list select and provide the criterion your project used to determine the academic need of the participant. Although many participants may qualify for project services based on more than one of the listed categories, please select from the list the main category your project used to determine that individual's academic need for services. Please use the "Other" category sparingly.

Question #8: Which of the numbers provided on the PSAT score report should be reported in field #22?

Response #8: Report the average of the verbal, math, and writing scores in field #22. Do not use the sum of the three scores (Selection Index) or the percentiles.

Question #9: What grade level should one use if the student completes the academic year after the end of the reporting (budget) period (field #25)?

Response #9: Use the school (academic) year calendar as a guide in determining the grade level of high school students at the end of the reporting period. Therefore, if a student completes the requirements of his/her current grade by the end of the reporting period (or the current academic year), use the next grade level even though the student has not yet started the next academic term at the end of the reporting (budget) period.

Question #10: If a student is concurrently enrolled in postsecondary classes and high school classes, should the student be reported as "enrolled in postsecondary education" in field #25?

Response #10: No. If the student has not yet graduated from high school, indicate the high school grade level of the student in field #25.

Question #11: The instructions for the performance report state that the report covers the 12-month grant (budget) period for which the grant has been made. However, this 12-month period does not always match the academic year of the target schools? Should the Upward Bound projects strictly adhere to the budget period dates when completing the performance report or should they try to match as closely as possible the school (academic) year of the target schools?

Response #11: As noted in response to Question #10, Upward Bound projects should use the school (academic) year calendar as a guide in reporting data for the performance report. For example, if the project (budget) year ends May 31 but the school year does not end until mid-June, use the data available at the end of the school year (i.e., grade level, GPA) for the performance report.

Question #12: If the high school grading scale of the project participants is other than the 4 point or 5 point scale, should the project convert these scores to a 4 point or 5 point scale (fields #26 through #30)?

Response #12: If the participant's high school uses a numeric grading scale that can be converted to a 4 or 5 point scale, the project should consider converting the grades to either the 4 or 5 point scale and reporting the participant's grade point averages using that scale. If the high school uses a non-numeric grading or if the numeric grading cannot be validly converted to the 4 or 5 point scale, the project should select "#3 – Other" in fields #26 and #28 and select "9.999 – Not applicable" in fields #27, #29, and #30.

Question #13: If a project provides instructions in subjects not included in fields #36 through #45 (i.e., history), should this be reported in field #52 -- "Supplemental Instruction."

Response #13: No. There is no place on this record structure to report instruction in subject areas other than those listed in fields #36 through #45. Use field #52 to report on the specialized tutoring sessions known in the education community as Supplemental Instruction (SI).

Question #14: What postsecondary status information (fields #72 through #80) should be reported for project participants who complete high school or a high school equivalency program during the grant (budget) period being reported or before the performance report is due?

Response #14: To the extent practical, an Upward Bound project should report on or update the postsecondary status of recent high school graduates and prior participants prior to submitting the performance report.

Question #15: For those projects with June 1 through May 31 project periods, how should the project report on the postsecondary status of Bridge students whose summer Bridge program is part of the next reporting period (e.g., 2002-2003)?

Response #15: To the extent practical, the project should report on the postsecondary status of recent high school graduates. Recognizing, for reporting purposes, that these students will also be project participants in the next project period (e.g., 2002-03), the project will include them on the next year's data file as a "continuing participant" (field #18). In field #19, the project will report this student's participation level as "participated in summer bridge only" and will provide appropriate service information in fields #36 through #67.

Question #16: The California system awards 5 credits per semester and 10 credits for a yearlong course. Should these credits be converted to Carnegie units when reporting number of high school credits earned in field #46?

Response #16: Yes. To ensure that comparable data are collected among all Upward Bound projects, high school credit should be reported using Carnegie units. The NCES Digest of Education Statistics defines a Carnegie unit as follows:

A standard of measurement that represents one credit for the completion of a one-year course.

The longitudinal study <u>High School and Beyond</u> further defines one Carnegie credit as equal to a single class period (40 to 60 minutes) once per day for a complete academic year.

Question #17: For a project participant enrolled in Advanced Placement (AP) or other college courses during high school, how does a project report the college grade level of that participant at the end of the reporting period (field #78)?

Response #17: A project should only complete field #78 after the Upward Bound participant has completed high school or a high school equivalency program. Once that student has enrolled in a postsecondary institution, use the criteria of the student's postsecondary institution to determine the student's current grade level. Most postsecondary institutions use credits earned and grade point average to determine the college grade level.

Example:

The UB participant has earned 24 semester credit hours in AP courses while in high school and earned a cumulative GPA in those courses of 3.0. The college the UB participant enrolled in requires 24 semester credit hours and a 2.0 GPA to be classified as a 2^{nd} year/sophomore. If the college accepts all the AP courses as applicable toward a degree, then you would report in field #78 that the student is a 2^{nd} year/sophomore.

Question #18: How long after leaving an Upward Bound is the participant's record maintained on the database file?

Response #18: *Beginning with Upward Bound participants served in program year 1999-2000*, ***all*** **classic Upward Bound and Math/Science** participants should be maintained on the database file and updated annually through their graduation from college or for four-years after completing secondary school provided the individual participated in the projects for at least:

- One calendar year for regular Upward Bound students; or
- Completion of the summer program for Upward Bound Math and Science participants.

Question #19: To what extent must an Upward Bound project follow-up on prior-year participants?

Response #19: The Department expects an Upward Bound project to annually follow-up on prior-year participants to determine their academic progress for four years after completing secondary education. However, the Department does not expect a project to continue to try to find prior-year participants that the project could not locate in the previous year's follow-up.

Question #20: If an Upward Bound participant is entering the program directly from middle school as a rising 9^{th} grader (or in some cases as a rising 10^{th} grader), how should the project complete field #26 (high school

grade point average scale at first entry into project) and field #27 (high school cumulative grade point average at first entry into project)?

Response #20: Fields # 26 and #27 request information on the Upward Bound participant's high school grade point average at first entry into the UB project. If the participant is entering Upward Bound from middle school, the participant will not have a high school grade point average at the time of entry into the project. For field #26, insert a "0" (zero) for "No response." For field #27 use "9.999" for "Not applicable." Do not use the participant's cumulative grade point average from middle school as the middle school grade point average is not comparable to the participant's high school grade point average.